

U.S. Department of Education

Washington, D.C. 20202-5335



APPLICATION FOR GRANTS UNDER THE

**ELEMENTARY & SECONDARY SCHOOL COUNSELING PROGRAM
CFDA # 84.215E**

OMB No. 1890-0009, Expiration Date: 06/30/2005

Closing Date: MAR 18, 2004

****Table of Contents****

Instruction Documents

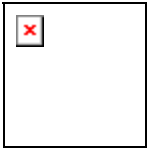
| | |
|---|----|
| 1. Ensuring Equal Opportunity | 1 |
| 2. Frequently Asked Questions | 3 |
| 3. Program Instructions | 6 |
| 4. Dear Colleague Letter | 33 |
| 5. ED 424 Instructions | 34 |
| 6. ED 524 Standard Instructions | 39 |
| 7. Disclosure of Lobbying Activities Instructions | 41 |
| 8. Intergovernmental Review of Federal Programs | 42 |
| 9. Intergovernmental Review of Federal Programs | 43 |

Forms

| | |
|---|----|
| 1. Standard Face Sheet (ED 424) | 44 |
| 2. Standard Budget Sheet (ED 524) | 45 |
| 3. SF 424B - Assurances Non-Construction Programs | 47 |
| 4. ED 80-0013 Certification | 49 |
| 5. ED 80-0014 Certification | 52 |
| 6. Disclosure of Lobbying Activities | 54 |
| 7. 84.215E Elementary/Secondary School Counselors | 55 |
| 8. 427 GEPA | 56 |

Narratives

| | |
|---|----|
| 1. Project Narrative - (Table of Contents Include a Table of Contents w.....) | 58 |
| 2. Project Narrative - (Abstract Include a concise, one-page, double-sp.....) | 59 |
| 3. Project Narrative - (Need for Project (25 points) In determining th.....) | 60 |
| 4. Project Narrative - (Significance (15 points) In determining the si.....) | 61 |
| 5. Project Narrative - (Quality of the Project Design (30 points) In d.....) | 62 |
| 6. Project Narrative - (Quality of Project Personnel (10 points) In de.....) | 63 |
| 7. Project Narrative - (Quality of the Project Evaluation (20 points)) | 64 |
| 8. Project Narrative - (Appendices Appendices should be limited only to.....) | 65 |
| 9. Project Narrative - (HUMAN SUBJECTS NARRATIVE(S) ED is planning cha.....) | 66 |
| 10. Budget Narrative - (Budget Narrative Include a detailed budget narr.....) | 67 |



SURVEY ON ENSURING EQUAL OPPORTUNITY FOR APPLICANTS

Do not enter information below unless instructed to do so.

OMB No. 1890-0014 Exp. 1/31/2006

Purpose: This form is for applicants that are nonprofit private organizations (not including private universities). Please complete it to assist the Federal government in ensuring that all qualified applicants, small or large, non-religious or faith-based, have an equal opportunity to compete for Federal funding. Information provided on this form will not be considered in any way in making funding decisions and will not be included in the Federal grants database.

Instructions for Submitting Survey

If submitting hard copy, please place the completed survey in an envelope labeled "Applicant Survey." Seal the envelope and include it with your application package.

If submitting electronically, please include the PR Award Number assigned to your e-application in the box above entitled "*Do not enter information below unless instructed to do so.*" Place and seal the completed survey in an envelope and mail it to: Joyce I. Mays, Application Control Center, U.S. Department of Education, 7th and D Streets, SW, ROB-3, Room 3671, Washington, DC 20202-4725.

1. Does the applicant have 501(c)(3) status?

☐ Yes ☐ No

2. How many full-time equivalent employees does the applicant have? (*Check only one box.*)

☐ 3 or Fewer ☐ 15-50
☐ 4-5 ☐ 51-100
☐ 6-14 ☐ over 100

3. What is the size of the applicant's annual budget? (*Check only one box.*)

☐ Less Than \$150,000
☐ \$150,000 - \$299,999
☐ \$300,000 - \$499,999
☐ \$500,000 - \$999,999
☐ \$1,000,000 - \$4,999,999
☐ \$5,000,000 or more

4. Is the applicant a faith-based/religious organization?

☐ Yes ☐ No

5. Is the applicant a non-religious community-based organization?

☐ Yes ☐ No

6. Is the applicant an intermediary that will manage the grant on behalf of other organizations?

☐ Yes ☐ No

7. Has the applicant ever received a government grant or contract (Federal, State, or local)?

☐ Yes ☐ No

8. Is the applicant a local affiliate of a national organization?

☐ Yes ☐ No

Survey Instructions on Ensuring Equal Opportunity for Applicants

1. 501(c)(3) status is a legal designation provided on application to the Internal Revenue Service by eligible organizations. Some grant programs may require nonprofit applicants to have 501(c)(3) status. Other grant programs do not.
2. For example, two part-time employees who each work half-time equal one full-time equivalent employee. If the applicant is a local affiliate of a national organization, the responses to survey questions 2 and 3 should reflect the staff and budget size of the local affiliate.
3. Annual budget means the amount of money your organization spends each year on all of its activities.
4. Self-identify.
5. An organization is considered a community-based organization if its headquarters/service location shares the same zip code as the clients you serve.
6. An “intermediary” is an organization that enables a group of small organizations to receive and manage government funds by administering the grant on their behalf.
7. Self-explanatory.
8. Self-explanatory

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0014. The time required to complete this information collection is estimated to average five (5) minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 20202-4651. **If you have comments or concerns regarding the status of your individual submission of this form, write directly to:** Joyce I. Mays, Application Control Center, U.S. Department of Education, 7th and D Streets, SW, ROB-3, Room 3671, Washington, DC 20202-4725.

IX. FREQUENTLY ASKED QUESTIONS

What steps can I take to maximize my chances of receiving a grant?

- Before preparing your application, read the application package carefully and completely.
- Follow all of the instructions exactly.
- If you're uncertain about any aspects of this application package, contact the competition manager for clarification.
- Absolute priorities establish the parameters for applications under a grant competition. If your application does not meet the absolute priority for this grant competition, it will not be considered for funding.
- A panel of three persons from the drug abuse and violence prevention, and counseling fields will review your application. Be sure to organize your application clearly, provide requested information in a comprehensive manner, and respond to each selection criterion thoroughly. Reviewers are not allowed to give you "the benefit of the doubt"; therefore, if it is not in your application, they cannot award points for it.
- Be sure that your application includes a budget request (ED Form 524) and complete narrative justification for each proposed project year.
- Be sure to submit your application **on or before** the deadline date of March 18, 2004.

What is the goal of this grant competition?

- The goal of this grant competition is to provide funds to elementary schools to establish or expand their capacity to provide counseling services and to identify model strategies, enhance knowledge of what works, and expand the inventory of effective counseling programs.

How much money is available under this grant competition?

- We expect to make available approximately \$11.5 million for this program in Fiscal Year 2004.
-

How many new awards will be made?

- We estimate that we will make 35 new awards in Fiscal Year 2004.

What is the estimated range of funding for projects under this program?

- We estimate that the average award under this program will be \$250,000 - \$400,000. These figures are only estimates and do not bind the Department of Education to a specific number of grants or amount of any grant.

Is there a matching requirement?

- No.

What is an indirect cost rate?

- The indirect cost rate is the negotiated rate between the applicant and cognizant Federal agency for indirect costs. For more information about indirect cost rates, please visit <http://www.ed.gov/about/offices/list/ocfo/intro.html?exp=0> .

Does this program use a restricted or unrestricted indirect cost rate?

- Because this program requires that grantees use funds to supplement, not supplant other Federal, State, or local funds used for providing school-based counseling and mental health services to students, applicants must use their negotiated, restricted indirect cost rate.

Can grant funds be used to support professional development activities?

- Yes, as long as the activities directly support the purposes of the grant.

Are there guidelines for how much money can be spent on consultants? What is the daily limit and is there a cap?

- There is no daily limit or cap for consultant fees. Information related to these fees should be included on ED Form 524 under the Budget Categories of Contractual or Other. Also, applicants should be sure to fully substantiate all expenditures in the budget narrative.

What is the project period for these grants?

- The maximum project period for these grants is 36 months. Projects will be funded for one year with an option for two additional years, contingent upon substantial progress and the availability of future funds.

What is the deadline date for applications under this grant competition?

- March 18, 2004.

May I get an extension of the deadline date?

- Waivers for individual applications failing to meet the deadline will not be granted, except in the circumstances described under the section on e-Applications. Under very extraordinary circumstances the Department may change the closing date for a grant competition. When this occurs, the Secretary announces such a change in a notice published in the Federal Register.

Who is eligible to apply?

- This grant competition is open to local educational agencies (LEAs) only.

What information should I include in my application?

- Complete instructions are given in the application package. Requested information includes:
 - ✓ results of a thorough needs assessment of objective data;
 - ✓ an established set of specific and measurable goals and objectives linked to identified needs;
 - ✓ counseling strategies that research or evaluation has shown to be effective in providing counseling services to elementary school students; and
 - ✓ evaluation methods to refine, improve, and strengthen the program and refine goals and objectives as appropriate.

How does the Freedom of Information Act affect my application?

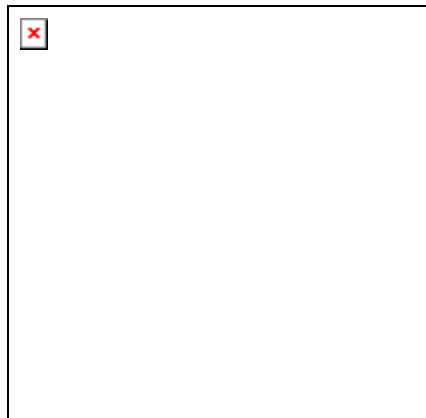
- The Freedom of Information Act (FOIA) was enacted in 1966 and provides that any person has the right to request access to Federal agency records or information. All agencies of the U.S. Government are required to disclose records upon receiving a written request for them, except for those records that are protected from disclosure by the nine exemptions listed in the FOIA. All applications submitted for funding consideration under this grant competition are subject to the FOIA. To read the text of the Freedom of Information Act, visit www.usdoj.gov/04foia/foiastat.htm.

Who do I contact for more information about this grant competition?

- Any questions pertaining to this grant competition should be directed to Ms. Loretta McDaniel, Program Analyst, U.S. Department of Education, 400 Maryland Avenue, SW, Room 3E220, Washington, DC 20202-6123, Phone: 202/260-2661, Fax: 202/260-7767, E-mail: loretta.mcdaniel@ed.gov

U.S. Department of Education
Office of Safe and Drug-Free Schools
Elementary and Secondary School Counseling Programs

Application Deadline: March 18, 2004



Information and Application Procedures for Fiscal Year 2004
OMB No. 1890-0009 Expiration Date: 06/30/2005

CFDA # 84.215E

TABLE OF CONTENTS

| | |
|---|-----------------------------|
| I. General Information..... | 3 |
| Overview | Authority |
| Applicable Regulations | Eligibility |
| Project Period | Estimated Award Information |
| Application Due Date | Paperwork Burden Statement |
| II. Government Performance and Results Act (GPRA)..... | 5 |
| III. Tips for Applicants..... | 6 |
| Before you Begin | Preparing your Application |
| Submitting your Application | What Happens Next |
| IV. General Information and Requirements..... | 8 |
| Grantee Meetings | Definitions |
| Administrative Cost Cap | Statutory Requirements |
| Maximum Award Cap | |
| V. Application Information and Selection Criteria..... | 11 |
| Background | Selection Criteria |
| Absolute Priority | |
| VI. Application Contents..... | 15 |
| Preparing the Application | GEPA 427 |
| Organizing the Application | Paperwork Burden Statement |
| VII. Application Submission Procedures..... | 19 |
| Application Transmittal Instructions | Copies of Application |
| VIII . Intergovernmental Review..... | 21 |
| IX. Authorizing Statute and Forms..... | 22 |
| Authorizing Statute | |
| Application for Federal Education Assistance (ED Form 424) | |
| Budget Information – Non-Construction Programs (ED Form 524) | |
| Assurances - Non-Construction Programs (Standard Form 424B) | |
| Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements (ED Form 80-0013) | |
| Disclosure of Lobbying Activities (Standard Form – LLL) | |
| Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion – Lower Tier Covered Transactions (ED Form 80-0014) | |
| Program Specific Assurances Form | |
| Application Package Preparation Checklist | |

I. General Information

Overview

We will award grants under this competition to establish or expand elementary school counseling programs, with special consideration given to applicants that can demonstrate the greatest need for counseling services in the schools to be served, propose the most innovative and promising approaches, and show the greatest potential for replication and dissemination.

Authority

This grant program is authorized under Title V, Part D, Subpart 2, Section 5421 of the Elementary and Secondary Education Act of 1965, as amended by the No Child Left Behind Act of 2001 (Public Law 107-110).

Note to Applicants

This is a complete application package for grants to local educational agencies to establish or expand elementary school counseling programs. Together with the statute authorizing the program and the Education Department General Administrative Regulations (EDGAR) governing the program, this package contains all of the information, application forms, and instructions needed to apply for this grant.

The official document governing this competition is the Notice Inviting Applications published in the Federal Register on February 3, 2004. This notice also is available electronically at: www.ed.gov/legislation/FedRegister and www.access.gpo.gov/nara.

The CFDA number and alpha suffix for this competition (84.215E) should be clearly indicated in Block #4 of the Standard Form 424.

Applicable Regulations

The following Education Department General Administrative Regulations (EDGAR) apply to the competition described in this application package:

- 34 CFR Part 75 (Direct Grant Programs)
- 34 CFR Part 77 (Definitions that Apply to Department Regulations)
- 34 CFR Part 79 (Intergovernmental Review of Department of Education Programs and activities)
- 34 CFR Part 80 (Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments)
- 34 CFR Part 81 (General Education Provisions Act—Enforcement)
- 34 CFR Part 82 (New Restrictions on Lobbying)
- 34 CFR Part 84 (Governmentwide Requirements for Drug-Free Workplace (Financial Assistance))
- 34 CFR Part 85 (Governmentwide Debarment and Suspension (Nonprocurement))
- 34 CFR Part 97 (Protection of Human Subjects)
- 34 CFR Part 98 (Student Rights in Research, Experimental Programs, and Testing)
- 34 CFR Part 99 (Family Educational Rights and Privacy)
- 34 CFR Part 299 (General Provisions)

Eligibility

Eligible applicants for this grant program are local educational agencies (LEAs). **Note:** Section 5421(g)(2) of ESEA requires that for any fiscal year in which the amount available for this program is less than \$40,000,000 the Secretary makes grants to LEAs only to establish or expand counseling programs in elementary schools. The FY 2004 appropriation for this program is \$33,799,400. Therefore, under this competition applicants must propose projects that

establish or expand counseling programs only in elementary schools.

Project Period

The project period for this grant is 36 months (3 budget periods of 12 months each). Projects will be funded for one year with an option for two additional years, contingent upon substantial progress and the availability of future funds. **Note:** Applicants requesting three-year projects must submit ED Form 524 and a detailed budget narrative for each of the three years in order to be eligible for funding each year.

Estimated Award Information

We estimate that we will make 35 new awards, ranging from \$250,000 - \$400,000, depending on the scope of work proposed. These figures are only estimates and do not bind the Department of Education to a specific number of grants or amount of any grant. **Note:** A grant award under this competition shall not exceed \$400,000 for any fiscal year.

Application Due Date

All applications must be postmarked on or before March 18, 2004 in order to be eligible for review. Applications delivered by hand must be received by the U.S. Department of Education Application Control Center no later than 4:30 PM Eastern Time (ET) on March 18, 2004. Applications may also be submitted electronically through the Department's e-Applications pilot. Applications may not be emailed or faxed.

Under very extraordinary circumstances, the Department may change the closing date for a competition. When this occurs, we announce such a change in a notice published in the Federal Register. Waivers for individual applications failing to meet the deadline will not be granted, except in the circumstances described in the section under e-Applications.

Paperwork Burden Statement

According to the paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for the information collection is OMB No. 1890-0009. The time required to complete the information collection is estimate to average 28 hours per response, including the time to review instructions, search existing data resources, gather and maintain the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, DC 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form, write directly to: Office of Safe and Drug-Free Schools, U.S. Department of Education, 400 Maryland Avenue, SW Room 3E318, Washington, DC 20202-6450.

II. THE GOVERNMENT PERFORMANCE AND RESULTS ACT (GPRA)

The Government Performance and Results Act of 1993 (GPRA) is a straightforward statute that requires all Federal agencies to manage their activities with attention to the consequences of those activities. Each agency is to clearly state what it intends to accomplish, identify the resources required, and periodically report their progress to the Congress. In so doing, it is expected that the GPRA will contribute to improvements in accountability for the expenditures of public funds, improve congressional decision-making through more objective information on the effectiveness of Federal programs, and promote a new government focus on results, service deliver, and customer satisfaction.

As required by GPRA, the Department of Education has prepared a strategic plan for 2002-2007. This plan reflects the Department's priorities and integrates them with its mission and program authorities and describes how the Department will work to improve education for all children and adults in the U.S. The Department's goals, as listen in the plan, are:

GOAL 1: Create a culture of achievement

GOAL 2: Improve student achievement.

GOAL 3: Develop Safe Schools and Strong Character.

GOAL 4: Transform Education into an Evidence-Based Field.

GOAL 5: Enhance the quality and access to Postsecondary and Adult Education.

GOAL 6: Establish Management Excellence.

The Secretary has established the following performance measures for assessing the effectiveness of the Elementary and Secondary School Counseling Programs:

- (1) the percentage of grantees closing the gap between their student/mental health professional ratios and student/mental health professional ratios recommended by the American School Health Association will increase; and
- (2) the number of referrals/suspensions for disciplinary reasons for students receiving counseling under the program will decrease.

These two measures constitute the Department's indicators of success for this program. Consequently, applicants for a grant under this program are advised to give careful consideration to these two outcomes in conceptualizing the design, implementation, and evaluation of their proposed project. If funded, applicants will be asked to collect and report data in their annual performance reports about progress toward these goals. The Secretary will also use this information to respond to reporting requirements concerning this program established in Section 5421(f) of the ESEA.

III. TIPS FOR APPLICANTS

A. Before you Begin

- Read this application package carefully and make sure you follow all of the instructions
- Use the tools we have provided to help you including
 - Frequently Asked Questions in this application package
 - How to apply for a grant on our web site at <http://www.ed.gov/about/offices/list/ocfo/grants/grants.html>
- Ask questions of the program contact if you don't understand how to proceed. Technical assistance will be provided about what is and is not allowable under this program.

B. Preparing your Application

- Be thorough in your program description. Write so that someone who knows nothing about your organization or your program plan can understand what you are proposing.
- Organize your application according to the selection criteria and respond comprehensively.
- Make sure your budget narrative provides enough detail about planned expenditures so staff can easily determine how the funds will be spent.
- Link your planned expenditures to the goals and objectives of your program. Do not request funds for miscellaneous purposes and make sure you demonstrate that your proposed expenditures are necessary to carry out your program.

C. Submitting your Application

- Use the checklist provided in this application package to make sure your application is complete before submitting it.
- Make sure all required forms are included and signed by an authorized representative of your organization.
- Transmit your application by the deadline date. If you use the U.S. Postal Service, make sure you have a legible postmark date. If you use an overnight carrier, get a receipt. If you use e-applications, follow the instructions on the e-Application web site. Because unanticipated problems can occur, we encourage you not to wait until the last minute to finalize your application.

D. What Happens Next?

- In approximately two weeks (depending on the volume of applications) you should receive a postcard from ED's Application Control Center acknowledging receipt of your application and giving you its assigned number. Please refer to this number if you need to contact us about your application.
- OSDFS staff screens each application to ensure that all program eligibility requirements are met and all forms are included.
- Your application will be assigned to a three-person panel of expert reviewers who will evaluate and score your proposal according to the selection criteria in this package. Your application will receive a score from 0 to 100 depending upon how well you respond to the requirements of the selection criteria.
- A grant award document will be sent to applicants whose proposals score within the funding range. Unsuccessful applicants will receive a notification letter. Both successful and unsuccessful applicants will receive copies of the peer review comments. Peer review comments will be sent to the authorized representative identified on ED Form 424 and will not be sent to personal post office boxes or home addresses.

IV. GENERAL INFORMATION AND REQUIREMENTS

Grantee Meetings

All applicants must budget for yearly attendance by two persons at the annual grantee meeting (two days) and the OSDFS National Conference (three days). These meetings will usually be held in Washington, DC. Grant funds may be used to pay for all costs associated with attendance at these meetings including transportation, hotel, and per diem.

Administrative Cost Cap

Not more than 4 percent of the grant award amount for any budget period may be used for administrative costs. Applicants are encouraged to review EDGAR Section 80.3 for a definition of administrative requirements.

Maximum Award Cap

A grant awarded under this program may not exceed \$400,000 for any fiscal year. Applicants should not submit budgets that exceed this statutory cap for any budget period for which they are requesting funding. Applicants that submit any annual budget that exceeds this cap may be ruled ineligible if their proposed project cannot be implemented for \$400,000 or less.

Definitions

The following definitions apply to this competition:

Local educational agency – a public board of education or other public authority legally constituted within a State for either administrative control of or direction of, or to perform service functions for, public elementary or secondary schools. Additional information can be found in EDGAR Part 77.

Elementary school -- an elementary school is a day or residential school that provides elementary education, as determined under State law (EDGAR Part 77).

Child and adolescent psychiatrist -- an individual who (a) possesses State medical licensure; and (b) has completed residency training programs in both general psychiatry and child and adolescent psychiatry.

Other qualified psychologist -- an individual who (a) has demonstrated competence in counseling children in a school setting and (b) who is licensed in psychology by the State in which the individual works; and (c) practices in the scope of the individual's education, training, and experience with children in school settings.

School counselor -- an individual who (a) has documented competence in counseling children and adolescents in a school setting and who is (b) licensed by the State or certified by an independent professional regulatory authority; (c) in the absence of such State licensure or certification, possesses national certification in school counseling or a specialty of counseling granted by an independent professional organization; or (d) holds a minimum of a master's degree in school counseling from a program accredited by the Council for Accreditation of Counseling and Related Educational Programs or the equivalent;

School psychologist -- an individual who (a) has completed a minimum of 60 graduate semester hours in school psychology from an institution of higher education and has completed 1,200 clock hours in a supervised school psychology internship, of which 600 hours are in the school setting and (b) is licensed or certified in school psychology by the State in which the individual works; or (c) in the absence of such State licensure or certification, possesses national certification by the National School Psychology Certification Board; and

School social worker -- an individual who (a) holds a master's degree in social work from a program accredited by the Council on Social Work Education; and (b) is licensed or certified by the State in which services are provided; or (c) in

the absence of such State licensure or certification, possesses a national credential or certification as a school social work specialist granted by an independent professional organization.

Statutory Requirements

The statute requires each project assisted under this program to—

- (1) be comprehensive in addressing the counseling and educational needs of all students;
- (2) use a developmental, preventive approach to counseling;
- (3) increase the range, availability, quantity, and quality of counseling services in elementary schools of the local educational agency;
- (4) expand counseling services through qualified school counselors, school social workers, school psychologists, other qualified psychologists, or child and adolescent psychiatrists;
- (5) use innovative approaches to increase children's understanding of peer and family relationships, work and self, decision making, academic and career planning, or to improve peer interaction;
- (6) provide counseling services in settings that meet the range of student needs;
- (7) include in-service training appropriate to the activities funded under this program for teachers, instructional staff, and appropriate school personnel, including in service training in appropriate identification and early intervention techniques by school counselors, school social workers, school psychologists, other qualified psychologists, and child and adolescent psychiatrists;
- (8) involve parents of participating students in the design, implementation, and evaluation of the counseling program;
- (9) involve community groups, social service agencies, or other public or private entities in collaborative efforts to enhance the program and promote school-linked integration of services;
- (10) evaluate annually the effectiveness and outcomes of the counseling services and activities assisted under this section;
- (11) ensure a team approach to school counseling in the schools served by the LEA by working toward ratios recommended by the American School Health Association of one school counselor to 250 students, one school social worker to 800 students, and one school psychologist to 1,000 students; and
- (12) ensure that school counselors, school psychologists, other qualified psychologists, school social workers, or child and adolescent psychiatrists paid from funds made available under this section spend a majority of their time counseling students or in other activities directly related to the counseling process.

The statute also requires each grantee to—

- (1) assure that the funds made available for any fiscal year will be used to supplement, and not supplant, any other Federal, State, or local funds used for providing school-based counseling and mental health services to students; and
- (2) assure that the applicant will appoint an advisory board composed of interested parties, including parents, teachers, school administrators, counseling service providers, and community leaders to advise the LEA on the design and implementation of the counseling program.

A form containing these assurances is included in this package in Section X, Authorizing Statute and Forms. A similar form is available in the materials for electronic submission of applications under this program.

V. APPLICATION INFORMATION AND SELECTION CRITERIA

Background

The Elementary and Secondary School Counseling Program will provide funds to allow elementary schools to expand their capacity to provide counseling services and to identify model strategies, enhance knowledge of what works, and expand the inventory of effective counseling programs. The emphasis of the program is on counseling services that focus on prevention and early intervention services for elementary school students.

During elementary school, students develop attitudes concerning school, self, peers, social groups, families, critical life skills, and character values. Elementary school counseling services can contribute to the personal growth, educational development, and emotional well being of students. Research suggests that high quality counseling services can have long-term effects on a child's well being and can prevent a student from turning to violence and drug or alcohol abuse. High quality school counseling services also can improve a student's academic achievement. Studies on the effects of school counseling have shown positive effects on students' grades, classroom disruptions, and teachers' ability to manage classroom behavior effectively. High quality school counseling services can also help in addressing students' mental health needs.

Elementary and Secondary School Counseling Programs will provide resources to enable schools to develop promising and innovative approaches for initiating or expanding elementary school counseling. This program will support the hiring and training of qualified school counselors, school psychologists, child and adolescent psychiatrists, and school social workers, for elementary schools; provide greater student access to beneficial counseling services; and help identify effective strategies for providing counseling services to elementary school students that show potential for replication and dissemination.

The statute requires that we give special consideration to applications that demonstrate the greatest need for new or additional counseling services, that propose the most promising and innovative approaches for initiating and expanding school counseling, and that show the greatest potential for replication and dissemination. We are implementing this requirement by providing a significant emphasis on these three issues in the selection criteria described later in this application package.

Absolute Priority

For FY 2004 this priority is an absolute priority. Under 34 CFR 75.105(c)(3) we consider only applications that meet this priority. This priority is: the establishment or expansion of elementary school counseling programs. Under 34 CFR part 77, an elementary school is a day or residential school that provides elementary education, as determined under State law. Applicants must also address the requirements in Section 5421 (c)(2) of the Elementary and Secondary Education Act of 1965, as amended by the No Child Left Behind Act of 2001. A copy of the statute authorizing this competition is included in this application package in Section X, Authorizing Statute and Forms.

Selection Criteria

The following selection criteria will be used to evaluate applications. For ease of reading by the reviewers, applicants should develop their narrative description to follow the sequence of criteria provided below. The maximum number of possible points for all selection criteria is 100. **[Note: The criteria contain weighted subcriteria. Applicants must address each subcriterion to qualify for the maximum number of points for each criterion.]**

- 1) Need for Project - 25 points
- 2) Significance - 15 points
- 3) Quality of the Project Design -30 points
- 4) Quality of the Project Personnel - 10 points
- 5) Quality of the Project Evaluation - 20 points

1. Need for Project (25 points)

In determining the need for the proposed project, the following factors are considered:

- A. The magnitude of the need for services to be provided or the activities to be carried out by the proposed project. (15 points)
- B. The extent to which specific gaps or weaknesses in services, infrastructure, or opportunities have been identified and will be addressed by the proposed project, including the nature and magnitude of those gaps or weaknesses. (10 points)

Notes: Reviewers will be look at the magnitude of the need for counseling services among the target population. Applicants must describe the school population to be targeted by the grant, the counseling needs of that population, and the current school counseling resources available for meeting identified counseling needs.

2. Significance (15 points)

In determining the significance of the proposed project, the following factors are considered:

- A. The likelihood that the proposed project will result in system change or improvement. (5 points)
- B. The potential contribution of the proposed project to the development and advancement of theory, knowledge, and practices in the field. (5 points)
- C. The potential replicability of the proposed project or strategies, including, as appropriate, the potential for implementation in a variety of settings. (5 points)

Notes: Reviewers will look for evidence that the project activities will lead to system change or improvement in the quality and effectiveness of counseling services. They will also consider the extent to which the proposed project reflects promising and innovative approaches for initiating or expanding school counseling, and demonstrates potential for replication and dissemination to other schools or school districts.

3. Quality of the Project Design (30 points)

In determining the quality of the design of the proposed project, the following factors are considered:

- A. The extent to which the goals, objectives, and outcomes to be achieved by the proposed project are clearly specified and measurable. (10 points)
- B. The extent to which the design of the proposed project is appropriate to, and will successfully address, the needs of the target population or other identified. (5 points)
- C. The extent to which the design of the proposed project reflects up-to-date knowledge from research and effective practice. (10 points)
- D. The extent to which the proposed project will establish linkages with other appropriate agencies and organizations providing services to the target population. (5 points)

Notes: Reviewers will look for clearly described activities, services, and training to be provided by the program and

the specific approaches to be used to meet the counseling needs of the target population, including those of diverse cultural populations, if applicable. Reviewers will also consider the extent to which the proposed projects will involve community groups, social service agencies, and other public and private entities in collaborative efforts to enhance the counseling program and promote school-linked services integration.

4. Quality of Project Personnel (10 points)

In determining the quality of personnel for the proposed project the following factors are considered:

- A. The extent to which the applicant encourages applications for employment from persons who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability. (5 points)
- B. The qualifications, including relevant training and experience, of key project personnel. (5 points)

Notes: Reviewers will look for evidence that the applicant has the personnel qualified to develop, implement, and administer the proposed project, including the project evaluation.

5. Quality of the Project Evaluation (20 points)

In determining the quality of the evaluation for the proposed project, the following factors are considered:

- A. The extent to which the methods of evaluation are thorough, feasible, measurable, and appropriate to the goals, objectives, and outcomes of the proposed project. (10 points)
- B. The extent to which the methods of evaluation include the use of objective performance measures that are clearly related to the intended outcomes of the project and will produce quantitative and qualitative data to the extent possible. (5 points)
- C. The extent to which the methods of evaluation will provide performance feedback and permit periodic assessment of progress toward achieving intended outcomes. (5 points)

Notes: Reviewers will look for a detailed description of the evaluation plan that includes the methods to be used to evaluate the outcomes and effectiveness of the project, including the applicant's plan to address the Government Performance and Results (GPRA) measures established for this program.

VI. APPLICATION CONTENTS

Preparing the Application

A completed application for assistance under this competition consists of two parts:

- (1) a detailed narrative description of the proposed project and budget, and
- (2) all forms and assurances that must be submitted in order to receive a grant.

A panel of non-Federal readers with experience in school-based counseling, prevention programs, or other youth development expertise will review each eligible application submitted by the deadline.

The panel will award points ranging from 0 to 100 to each application depending on how well the selection criteria are addressed. Be sure you provide a comprehensive response to each factor under each selection criterion. Applications that fail to do so will be read, but our experience suggests they may not score well enough to be funded.

Organizing the Application

An application under this program should address the specific needs of the applicant and propose activities specifically designed to meet those needs. The Department strongly discourages applicants from using “form” applications or proposals that address general rather than specific local needs.

We recommend that applicants organize the information in their application in the following order. All pages should be number consecutively to make review and evaluation easier. Applications should be double-spaced and printed on one side of the paper.

1. Application for Federal Assistance (ED Form 424): Use the Application for Federal Education Assistance (ED Form 424), or a suitable facsimile, to cover the original and each copy of the application.

2. Table of Contents: Include a Table of Contents with page references.

3. Abstract: Include a concise, one-page, double spaced abstract following the Table of Contents. This is a key element and should include a brief narrative describing: (1) a brief summary of the project goals and objectives; (2) the intended outcomes of the project; and (3) the theoretical or research basis for the project. Clearly mark this page with the applicant’s name as shown in Item 1 of ED Form 424 and the title of the project as shown in Item 13 of the same form.

4. Narrative: Narratives should be no more than 25 double-spaced pages. Font size should be no smaller than 11-point type. Narratives must contain evidence that the applicant meets the absolute priority, and should contain and follow in sequence the information requested for each selection criterion. Applicants should review Sections IV and V for a discussion of the selection criteria and the chief considerations for this specific competition. A timeline or schedule of tasks and events, responsible person(s), project milestone(s), and/or completion dates should be included in the narrative.

5. Budget Form: Use the Budget Information Form (ED Form 524, Section A) provided in the Appendix of this application package to prepare a budget for the funded project period. **Note:** A budget must be submitted for each year in which funds are requested. Failure to supply a budget for each year of the project will result in no funding for those years. This competition does not require a matching contribution from the applicant.

6. Budget Narrative: Include a detailed budget narrative that supports and explains the information provided in the

Budget Information Form (ED Form 524). Use the same budget categories as those on the ED Form 524 and explain the basis used to estimate costs for all budget categories, and how the cost items relate to the proposed project goals, objectives, and activities. All expenditures must be necessary to carry out the goals and objectives of the program, reasonable for the scope and complexity of the program, and allowable under the terms and conditions of the grant and in accordance with government cost principles.

The Budget Information Form and accompanying narrative should provide enough detail to easily understand how costs were determined and if the budget is commensurate with the scope of the project. Applicants must submit separate detailed budgets for each year as shown on the Budget Information Form.

7. Appendices: Appendices should be limited only to what reviewers need to understand or clarify the proposal, or to provide supporting documentation such as personnel qualifications. Be sure to include copies of appendices with each copy of the application. Do not include timelines or other management charts as appendices, as they should be included in the narrative.

8. Assurances and Certifications: Standard Form 424B, ED Form 80-0013, and ED Form 80-0014 must be signed with the original signatures of the person authorized to sign for the institution, and must be included in the application package. **Note:** If 1(b) of Form ED 80-0013 applies because of lobbying activities related to a previous grant, or are anticipated to occur with this project if it is funded, you must submit Standard Form LLL. If your organization does not engage in lobbying, please submit Standard Form LLL and mark not applicable (NA) on the face. ED Form 80-0013 three-in-one form will be used only for lobbying certification. (We have crossed out the two obsolete certifications for Drug-Free Workplace and Debarment and Suspension.).

General Education Provisions Act (GEPA) Section 427

Section 427 of GEPA affects applicants for new discretionary grant awards under this program. All applicants for new awards must include information in their applications to address this provision, summarized below, in order to receive funding under this program.

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its federally-assisted program for students, teachers, and other program beneficiaries with special needs.

This section allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation that you may address: *gender, race, national origin, color, disability, or age*. Based on local circumstances, you can determine whether these or other barriers may prevent your students, teachers, or others, from equitable access or participation. Your description need not be lengthy; you may provide a clear and succinct description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

NOTE: A general statement of an applicant's nondiscriminatory hiring policy is not sufficient to meet this requirement. Applicants must identify potential barriers and explain steps they will take to overcome these barriers.

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for Federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve to high standards. Consistent with program requirements and its approved application, an applicant may use the Federal funds awarded to it to eliminate barriers it identifies.

Examples

The following examples help illustrate how an applicant may comply with section 427.

- (1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.
- (2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audiotape or in Braille for students who are blind.
- (3) An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course, might indicate how it tends to conduct "outreach" efforts to girls, to encourage their enrollment.

We recognize that many applicants may already be implementing effective steps to ensure equity of access and participation in their grant programs, and we appreciate your cooperation in responding to the requirements of this provision.

Paperwork Burden Statement for GEPA 427

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for the GEPA 427 is OMB No. 1801-0004. The time required to complete GEPA 427 is estimated to average 1.5 hours per response, including the time to

review instructions, search existing data resources, gather and maintain the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, DC 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form, write directly to: Safe and Drug-Free Schools Program, Office of Elementary and Secondary Education, U.S. Department of Education, 400 Maryland Avenue, SW, Room 3E300, Washington, DC 20202-6123.

VII. APPLICATION SUBMISSION PROCEDURES

APPLICATION TRANSMITTAL INSTRUCTIONS

ATTENTION ELECTRONIC APPLICANTS: Please note that you must follow the Application Procedures as described in the Federal Register notice announcing the grant competition. Some programs may require electronic submission of applications, and those programs will have specific requirements and waiver instructions in the Federal Register notice.

Applications Submitted Electronically

You must submit your grant application through the Internet using the software provided on the e-Grants Web site (<http://e-grants.ed.gov>) by 4:30 p.m. (Washington, DC time) on the application deadline date. The regular hours of operation of the e-Grants website are 6:00 a.m. Monday until 7:00 p.m. Wednesday; and 6:00 a.m. Thursday until midnight Saturday (Washington, DC time). Please note that the system is unavailable on Sundays, and after 7:00 p.m. on Wednesday for maintenance (Washington, DC time). Any modifications to these hours are posted on the e-Grants Web site.

If you submit your application through the Internet via the e-Grants Web site, you will receive an automatic acknowledgment when we receive your application.

Applications Delivered by Mail

Applications sent by mail must be addressed to:

**U.S. Department of Education
Application Control Center
Attention: (CFDA # 84.215E)
Room 3671
Regional Office Building 3
400 Maryland Avenue, SW.
Washington, D.C. 20202-4725**

Applicants must show proof of mailing consisting of one of the following:

- (1) A legibly dated U.S. Postal Service Postmark
- (2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service.
- (3) A dated shipping label, invoice, or receipt from a commercial carrier
- (4) Any other proof of mailing acceptable to the U.S. Secretary of Education

If an application is sent through the U.S. Postal Service, the Secretary does not accept either of the following as proof of mailing:

- (1) A private metered postmark, or
- (2) A mail receipt that is not dated by the U.S. Postal Service

Applicants should note that the U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, you should check with your local post office.

If you send your application by mail or if you or your courier deliver it by hand, the Application Control Center will mail a Grant Application Receipt Acknowledgment to you. If you do not receive the notification of application receipt within 15 days from the mailing of the application, you should call the U.S. Department of Education Application Control Center at (202) 708-9493.

You must indicate on the envelope and—if not provided by the Department—in Item 4 of the Application for Federal Education Assistance (ED 424 (exp. 11/30/2004)) the CFDA number – and suffix letter, if any – of the competition under which you are submitting your application.

If your application is late, we will notify you that we will not consider the application.

Applications Delivered by Hand/Courier Service

An application that is hand-delivered must be taken to:

**U.S. Department of Education
Application Control Center
Room 3671
Regional Office Building 3
7th & D Streets, SW.
Washington, D.C. 20202-4725**

The Application Control Center accepts deliveries daily between 8:00 a.m. and 4:30 p.m. (Washington, D.C. time), except Saturdays, Sundays and Federal holidays.

The Center accepts application deliveries must use the D Street entrance only. A person delivering an application must show identification to enter the building.

COPIES OF APPLICATION

An original and two copies of an application for an award must be mailed or hand-delivered by the application deadline date unless it is submitted electronically.

VIII. INTERGOVERNMENTAL REVIEW OF FEDERAL PROGRAMS

This grant competition is subject to the requirements of Executive Order 12372 and the regulations in 34 CFR Part 79. One of the objectives of the Executive Order is to foster an intergovernmental partnership and a strengthened federalism. The Executive Order relies on processes developed by State and local governments for coordination and review of proposed Federal financial assistance.

Applicants must contact the appropriate State Single Point of Contact to find out about, and to comply with, the State's process under Executive Order 12372. Applicants proposing to perform activities in more than one State should immediately contact the Single Point of Contact for each of those States and follow the procedure established in each State under the Executive Order. The name and address of each State Single Point of Contact is listed below. **Note: A copy of the applicant's letter to the State Single Point of Contact must be included with their application.**

In States that have not established a process or chosen a program for review, State, area-wide, regional, and local entities may submit comments directly to the Department.

Any State Process Recommendation and other comments submitted by a State Single Point of Contact and any comments from State, area-wide, regional, and local entities must be received by May 30, 2004, at the following address: The Secretary, EO 12372—CFDA #84.215E, U.S. Department of Education, 400 Maryland Avenue, SW, Room 7W300, Washington, DC 20202-0124. Recommendations or comments may be hand-delivered until 4:30 p.m. (Washington, DC time) on May 30, 2004. Please do not send applications to this address.

States that are not listed have chosen not to participate in the intergovernmental review process, and therefore do not have a State Single Point of Contact. If your organization is located within one of these States, it is exempt from this requirement.

State Single Points of Contact

The State Single Points of Contact list can be viewed at the following website:

<http://www.whitehouse.gov/omb/grants/spoc.html>

Changes to this list can be made only after OMB is notified by a State's officially designated representative. E-mail messages can be sent to grants@omb.eop.gov. If you prefer, you may send correspondence to the following postal address:

Attn: Grants Management
Office of Management and Budget
New Executive Office Building, Suite 6025
725 17th Street, NW
Washington, DC 20503

IX. AUTHORIZING STATUTE AND FORMS

Authorizing Statute

ELEMENTARY AND SECONDARY EDUCATION ACT OF 1965

as amended by

NO CHILD LEFT BEHIND ACT OF 2001

TITLE V – PROMOTING INFORMED PARENTAL CHOICE AND INNOVATIVE PROGRAMS

PART D – FUND FOR THE IMPROVEMENT OF EDUCATION

SEC. 5421. ELEMENTARY AND SECONDARY SCHOOL COUNSELING PROGRAMS

`(a) GRANTS AUTHORIZED-

`(1) IN GENERAL The Secretary is authorized to award grants to local educational agencies to enable such agencies to establish or expand elementary school and secondary school counseling programs that comply with the requirements of subsection (c)(2).

`(2) SPECIAL CONSIDERATION- In awarding grants under this section, the Secretary shall give special consideration to applications describing programs that—

 `(A) demonstrate the greatest need for new or additional counseling services among children in the schools served by the local educational agency, in part by providing information on current ratios of students to school counselors, students to school social workers, and students to school psychologists;

 `(B) propose the most promising and innovative approaches for initiating or expanding school counseling; and

 `(C) show the greatest potential for replication and dissemination.

`(3) EQUITABLE DISTRIBUTION- In awarding grants under this section, the Secretary shall ensure an equitable geographic distribution among the regions of the United States and among local educational agencies located in urban, rural, and suburban areas.

`(4) DURATION- A grant under this section shall be awarded for a period not to exceed 3 years.

`(5) MAXIMUM GRANT- A grant awarded under this section shall not exceed \$400,000 for any fiscal year.

`(6) SUPPLEMENT, NOT SUPPLANT- Funds made available under this section shall be used to supplement, and not supplant, other Federal, State, or local funds used for providing school-based counseling and mental health services to students.

`(b) APPLICATIONS-

`(1) IN GENERAL- Each local educational agency desiring a grant under this section shall submit an application to the

Secretary at such time, in such manner, and accompanied by such information as the Secretary may reasonably require.

`(2) CONTENTS- Each application for a grant under this section shall--

`(A) describe the school population to be targeted by the program, the particular counseling needs of such population, and the current school counseling resources available for meeting such needs;

`(B) describe the activities, services, and training to be provided by the program and the specific approaches to be used to meet the needs described in subparagraph (A);

`(C) describe the methods to be used to evaluate the outcomes and effectiveness of the program;

`(D) describe how the local educational agency will involve community groups, social service agencies, and other public and private entities in collaborative efforts to enhance the program and promote school-linked services integration;

`(E) document that the local educational agency has the personnel qualified to develop, implement, and administer the program;

`(F) describe how diverse cultural populations, if applicable, will be served through the program;

`(G) assure that the funds made available under this subpart for any fiscal year will be used to supplement, and not supplant, any other Federal, State, or local funds used for providing school-based counseling and mental health services to students; and

`(H) assure that the applicant will appoint an advisory board composed of interested parties, including parents, teachers, school administrators, counseling services providers described in subsection (c)(2)(D), and community leaders, to advise the local educational agency on the design and implementation of the program.

`(c) USE OF FUNDS-

`(1) IN GENERAL The Secretary is authorized to award grants to local educational agencies to enable the local educational agencies to initiate or expand elementary school or secondary school counseling programs that comply with the requirements of paragraph (2).

`(2) REQUIREMENTS- Each program funded under this section shall--

`(A) be comprehensive in addressing the counseling and educational needs of all students;

`(B) use a developmental, preventive approach to counseling;

`(C) increase the range, availability, quantity, and quality of counseling services in the elementary schools and secondary schools of the local educational agency;

`(D) expand counseling services through qualified school counselors, school social workers, school psychologists, other qualified psychologists, or child and adolescent psychiatrists;

`(E) use innovative approaches to increase children's understanding of peer and family relationships, work and self, decisionmaking, or academic and career planning, or to improve peer interaction;

`(F) provide counseling services in settings that meet the range of student needs;

`(G) include in-service training appropriate to the activities funded under this Act for teachers, instructional staff, and appropriate school personnel, including in service training in appropriate identification and early intervention techniques by school counselors, school social workers, school psychologists, other qualified psychologists, and child and adolescent psychiatrists;

`(H) involve parents of participating students in the design, implementation, and evaluation of the counseling program;

`(I) involve community groups, social service agencies, or other public or private entities in collaborative efforts to enhance the program and promote school-linked integration of services;

`(J) evaluate annually the effectiveness and outcomes of the counseling services and activities assisted under this section;

`(K) ensure a team approach to school counseling in the schools served by the local educational agency by working toward ratios recommended by the American School Health Association of 1 school counselor to 250 students,

1 school social worker to 800 students, and 1 school psychologist to 1,000 students; and

`(L) ensure that school counselors, school psychologists, other qualified psychologists, school social workers, or child and adolescent psychiatrists paid from funds made available under this section spend a majority of their time counseling students or in other activities directly related to the counseling process.

`(d) LIMITATION ON ADMINISTRATIVE COSTS- Not more than 4 percent of the amounts made available under this section for any fiscal year may be used for administrative costs to carry out this section.

`(e) DEFINITIONS- For the purpose of this section—

`(1) the term `child and adolescent psychiatrist' means an individual who--

`(A) possesses State medical licensure; and

`(B) has completed residency training programs in both general psychiatry and child and adolescent psychiatry;

`(2) the term `other qualified psychologist' means an individual who has demonstrated competence in counseling children in a school setting and who—

`(A) is licensed in psychology by the State in which the individual works; and

`(B) practices in the scope of the individual's education, training, and experience with children in school settings;

`(3) the term `school counselor' means an individual who has documented competence in counseling children and adolescents in a school setting and who--

`(A) is licensed by the State or certified by an independent professional regulatory authority;

`(B) in the absence of such State licensure or certification, possesses national certification in school counseling or a specialty of counseling granted by an independent professional organization; or

`(C) holds a minimum of a master's degree in school counseling from a program accredited by the Council for Accreditation of Counseling and Related Educational Programs or the equivalent;

`(4) the term `school psychologist' means an individual who--

`(A) has completed a minimum of 60 graduate semester hours in school psychology from an institution of higher education and has completed 1,200 clock hours in a supervised school psychology internship, of which 600 hours are in the school setting;

`(B) is licensed or certified in school psychology by the State in which the individual works; or

`(C) in the absence of such State licensure or certification, possesses national certification by the National School Psychology Certification Board; and

`(5) the term `school social worker' means an individual who--

`(A) holds a master's degree in social work from a program accredited by the Council on Social Work Education; and

`(B)(i) is licensed or certified by the State in which services are provided; or

`(ii) in the absence of such State licensure or certification, possesses a national credential or certification as a school social work specialist granted by an independent professional organization.

`(f) REPORT- Not later than 2 years after assistance is made available to local educational agencies under subsection (c), the Secretary shall make publicly available a report—

`(1) evaluating the programs assisted pursuant to each grant under this subpart; and

`(2) outlining the information from local educational agencies regarding the ratios of students to--

`(A) school counselors;

- `(B) school social workers; and
- `(C) school psychologists.

`(g) SPECIAL RULE-

`(1) AMOUNT EQUALS OR EXCEEDS \$40,000,000- If the amount of funds made available by the Secretary for this subpart equals or exceeds \$40,000,000, the Secretary shall award not less than \$40,000,000 in grants to local educational agencies to enable the agencies to establish or expand counseling programs in elementary schools.

`(2) AMOUNT LESS THAN \$40,000,000- If the amount of funds made available by the Secretary for this subpart is less than \$40,000,000, the Secretary shall award grants to local educational agencies only to establish or expand counseling programs in elementary schools.

Forms

The required application forms are included in this package. Applicants can access additional copies of these forms by going to the grant forms website at:

<http://www.ed.gov/fund/grant/apply/appforms/appforms.html?exp=0>

IMPORTANT NOTICE TO PROSPECTIVE PARTICIPANTS IN U.S. DEPARTMENT OF EDUCATION CONTRACT AND GRANT PROGRAMS

GRANTS

Applicants for grants from the U.S. Department of Education (ED) have to compete for limited funds. Deadlines assure all applicants that they will be treated fairly and equally, without last minute haste. For these reasons, ED must set strict deadlines for grant applications. Prospective applicants can avoid disappointment if they understand that:

Failure to meet a deadline will mean that an applicant will be rejected without any consideration.

The rules, including the deadline, for applying for each grant are published, individually, in the Federal Register. Six-month or one-year subscriptions to the daily, official Federal Register may be ordered from the U.S. Government Printing Office at the following Web site: <http://bookstore.gpo.gov/regulatory/fed-reg.html>. The Federal Register Complete Service also is available in microfiche on the same Web page. In addition, the Federal Register is available on-line for free on Government Printing Office (GPO) Access: <http://www.access.gpo.gov/nara>. Depository Library location and Federal Register services: http://www.archives.gov/federal_register/index.html.

The instructions in the Federal Register must be followed exactly. Do not accept any other advice you may receive. No ED employee is authorized to extend any deadline published in the Register. Questions regarding submission of applications may be addressed to:

U.S. Department of Education
Application Control Center
Washington, D.C. 20202-4725

CONTRACTS

Competitive procurement actions undertaken by the ED are governed by the Federal Acquisition Regulations and implementing Department of Education Acquisition Regulations.

Generally, prospective competitive procurement actions are synopsisized in the Commerce Business Daily (CBD). Prospective offerors are therein advised of the nature of the procurement and where to apply for copies of the Request for Proposals (RFP). All of ED's RFPs are now available on-line for downloading at the following Web site: <http://www.eps.gov/spg/ED/index.html>.

Offerors are advised to be guided solely by the contents of the CBD synopsis and the instructions contained in the RFP. Questions regarding the submission of offers should be addressed to the Contracts Specialist identified on the face page of the RFP. Offers are judged in competition with others, and failure to conform with any substantive requirements of the RFP will result in rejection of the offer without any consideration whatever.

Do not accept any advice you receive that is contrary to instructions contained in either the CBD synopsis or the RFP. No ED employee is authorized to consider a proposal, which is non-responsive to the RFP. Six-month or one-year subscriptions to the CBD may be ordered from the U.S. Government Printing Office at the following Web site: <http://bookstore.gpo.gov/regulatory/cbd.html>. Information included in the Federal Acquisition Regulation is contained in Title 48, Code of Federal Regulations, Chapter 1. The foregoing publication may be obtained by sending your check or money order only, no cash or stamps, to:

Superintendent of Documents
U.S. Government Printing Office
Washington, D.C. 20402-9371

In addition, the Commerce Business Daily is available on-line for free at the following Web site: <http://cbdnet.access.gpo.gov>. The Federal Acquisition Regulations are available on-line at the following Web site: <http://www.arnet.gov/far>.

ED FORM 5348, 10/01

Other Information

Grant application receipt acknowledgment

If you fail to receive the notification of application receipt within 15 days from the closing date, call the U.S. Department of Education's Application Control Center at 202/708-9493.

Grant and contract funding information

The Department of Education provides information about grant and contract opportunities electronically in several ways:

Department of Education Web site for available grant applications -

<http://www.ed.gov/fund/grant/apply/grantapps/index.html>

Office of the Chief Financial Officer Web Page – <http://www.ed.gov/offices/OCFO/>

D-U-N-S number instructions

The D-U-N-S Number is a unique nine-digit number provided by Dun & Bradstreet that does not convey any information about the recipient. A built-in check helps to ensure the accuracy of the D-U-N-S Number. The ninth digit of each number is the check digit, which is mathematically related to the other digits. It lets computer systems determine if a D-U-N-S Number has been entered correctly.

If you do not currently have a D-U-N-S Number you can obtain one at no charge by calling 800/333-0505 or by completing a D-U-N-S Number Request Form on the Internet at the following Web site: <http://www.dnb.com>.

Note: Applicants are strongly encouraged to apply for a DUNS Number during the initial development of the application. We cannot make a grant award without an active D-U-N-S Number.

Use This Checklist in Preparing Your Application Package

- ☐ Application for Federal Education Assistance (ED Form 424) - Page 1
 - ✓ ED Form 424 has been completed according to the instructions and includes the nine-digit active D-U-N-S Number and Tax Identification Number.
 - ✓ ED Form 424 has been signed in black ink and dated by an authorized official and the signed original has been included with your submission.
- ☐ Table of Contents - Page 2
- ☐ Project Abstract - Page 3 (one page maximum)
- ☐ Project Narrative (up to 25 pages double-spaced)
- ☐ Budget Information Form (ED Form 524) and budget narrative
- ☐ Assurances—Non-Construction Programs (ED Form 424B), signed and dated by an authorized official (including original signature in at least one copy)
- ☐ Certifications Regarding Lobbying (ED Form 80-0013), signed and dated by an authorized official (including original signature in at least one copy) **NOTE:** Certifications for Drug-Free Workplace and Debarment and Suspension are no longer required. The three-in-one form will be used for lobbying certification until a new form is developed.
- ☐ Certification Regarding Debarment (ED Form 80-0014), signed and dated by an authorized official (including original signature in at least one copy)
- ☐ Disclosure of Lobbying Activities (Standard Form – LLL), signed and dated by an authorized official (including original signature in at least one copy)
- ☐ Program Specific Assurances Form, signed and dated by an authorized official (including original signature in at least one copy)
- ☐ A narrative response to the GEPA provision, describing the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally-assisted program for students, teachers, and other program beneficiaries with special needs.
- ☐ Copy of Applicant's Letter to State Single Point of Contact (Executive Order 12372)
- ☐ One signed original and two copies of the application (including all forms), plus one voluntarily submitted additional copy has been included. All copies are unbound. Each page is consecutively numbered.
- ☐ Mailing Address: U.S. Department of Education, Application Control Center, Attention: CFDA #84.215E, ROB 3 – Room 3671, 400 Maryland Avenue, SW, Washington, DC 20202-4725
- ☐ Deadline Date: Applications must be postmarked or hand delivered by **March 18, 2004** (see page 21 of this application package for additional application submission procedures).

For further information contact:

Loretta McDaniel
Office of Safe and Drug-Free Schools
U.S. Department of Education
400 Maryland Avenue, SW
Washington, DC 20202-6450

Loretta McDaniel
Email: loretta.mcdaniel@ed.gov
Phone: (202) 260-2661

Individuals who use a telecommunications device for the deaf (TDD) may call the Federal Information Relay Service (FIRS) @ 1-800-877-8339 Monday through Friday between 8:00 a.m. and 8:00 p.m. (EDT).

Information about other funding opportunities, including copies of application notices for discretionary grant competitions can be viewed on the Department's electronic bulletin board (ED Board), telephone (202) 260-9950; or on the Internet Gopher Service (under Announcements, Bulletins, and Press Releases); or on the World Wide Web at <http://www.ed.gov/fund/grant/find/edlite-forecast.html>.

Instructions For ED 424

1. **Legal Name and Address.** Enter the legal name of applicant and the name of the primary organizational unit which will undertake the assistance activity.
2. **D-U-N-S Number.** Enter the applicant's D-U-N-S Number. If your organization does not have a D-U-N-S Number, you can obtain the number by calling 1-800-333-0505 or by completing a D-U-N-S Number Request Form. The form can be obtained via the Internet at the following URL: <http://www.dnb.com>.
3. **Tax Identification Number.** Enter the taxpayer's identification number as assigned by the Internal Revenue Service.
4. **Catalog of Federal Domestic Assistance (CFDA) Number.** Enter the CFDA number and title of the program under which assistance is requested. The CFDA number can be found in the federal register notice and the application package.
5. **Project Director.** Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application.
6. **Novice Applicant.** Check "Yes" or "No" only if assistance is being requested under a program that gives special consideration to novice applicants. Otherwise, **leave blank**.

Check "Yes" if you meet the requirements for novice applicants specified in the regulations in 34 CFR 75.225 and included on the attached page entitled "Definitions for Form ED 424. By checking "Yes" the applicant certifies that it meets these novice applicant requirements. Check "No" if you do not meet the requirements for novice applicants.

7. **Federal Debt Delinquency.** Check "Yes" if the applicant's organization is delinquent on any Federal debt. (This question refers to the applicant's organization and not to the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.) Otherwise, check "No."
8. **Type of Applicant.** Enter the appropriate letter in the box provided.
9. **Type of Submission.** See "Definitions for Form ED 424" attached.
10. **Executive Order 12372.** See "Definitions for Form ED 424" attached. Check "Yes" if the application is subject to review by E.O. 12372. Also, please enter the month, day, and four (4) digit year (e.g., 12/12/2001). Otherwise, check "No."
11. **Proposed Project Dates.** Please enter the month, day, and four (4) digit year (e.g., 12/12/2001).
12. **Human Subjects Research.** (See I.A. "Definitions" in attached page entitled "Definitions for Form ED 424.")

If Not Human Subjects Research. Check "No" if research activities involving human subjects are not planned at any time during the proposed project period. The remaining parts of Item 12 are then not applicable.

If Human Subjects Research. Check "Yes" if research activities involving human subjects are planned at any time during the proposed project period, either at the applicant organization or at any other performance site or collaborating institution. Check "Yes" even if the research is exempt from the regulations for the protection of human subjects. (See I.B. "Exemptions" in attached page entitled "Definitions for Form ED 424.")

12a. If Human Subjects Research is Exempt from the Human Subjects Regulations. Check "Yes" if all the research activities proposed are designated to be exempt from the regulations. Insert the exemption number(s) corresponding to one or more of the six exemption categories listed in I.B. "Exemptions." In addition, follow the instructions in II.A. "Exempt Research Narrative" in the attached page entitled "Definitions for Form ED 424." Insert this narrative immediately following the ED 424 face page.

12a. If Human Subjects Research is Not Exempt from Human Subjects Regulations. Check "No" if some or all of the planned research activities are covered (not exempt), and provide the assurance number if available. In addition, follow the instructions in II.B. "Nonexempt Research Narrative" in the page entitled "Definitions for Form ED 424." Insert this narrative immediately following the ED 424 face page.

12a. Human Subjects Assurance Number. If the applicant has an approved Federal Wide (FWA) or Multiple Project Assurance (MPA) with the Office for Human Research Protections (OHRP), U.S. Department of Health and Human Services, that covers the specific activity, insert the number in the space provided. If the applicant does not have an approved assurance on file with OHRP,

enter "None" in item 12b. In this case, the applicant, by signature on the face page, is declaring that it will comply with 34 CFR 97 and proceed to obtain the human subjects assurance upon request by the designated ED official. If the application is recommended/selected for funding, the designated ED official will request that the applicant obtain the assurance within 30 days after the specific formal request.

Note about Institutional Review Board Approval. ED does not require certification of Institutional Review Board approval with the application. However, if an application that involves non-exempt human subjects research is recommended/selected for funding, the designated ED official will request that the applicant obtain and send the certification to ED within 30 days after the formal request.

13. **Project Title.** Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.
14. **Estimated Funding.** Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate **only** the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 14.
15. **Certification.** To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. Be sure to enter the telephone and fax number and e-mail address of the authorized representative. Also, in item 15e, please enter the month, day, and four (4) digit year (e.g., 12/12/2001) in the date signed field.

Paperwork Burden Statement. According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is **1875-0106**. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 20202-4651. **If you have comments or concerns regarding the status of your individual submission of this form write directly to:** Joyce I. Mays, Application Control Center, U.S. Department of Education, 7th and D Streets, S.W. ROB-3, Room 3633, Washington, D.C. 20202-4725

Definitions for Form ED 424

Novice Applicant (See 34 CFR 75.225). For discretionary grant programs under which the Secretary gives special consideration to novice applications, a novice applicant means any applicant for a grant from ED that—

- Has never received a grant or subgrant under the program from which it seeks funding;
- Has never been a member of a group application, submitted in accordance with 34 CFR 75.127-75.129, that received a grant under the program from which it seeks funding; and
- Has not had an active discretionary grant from the Federal government in the five years before the deadline date for applications under the program. For the purposes of this requirement, a grant is active until the end of the grant's project or funding period, including any extensions of those periods that extend the grantee's authority to obligate funds.

In the case of a group application submitted in accordance with 34 CFR 75.127-75.129, a group includes only parties that meet the requirements listed above.

Type of Submission. "Construction" includes construction of new buildings and acquisition, expansion, remodeling, and alteration of existing buildings, and initial equipment of any such buildings, or any combination of such activities (including architects' fees and the cost of acquisition of land). "Construction" also includes remodeling to meet standards, remodeling designed to conserve energy, renovation or remodeling to accommodate new technologies, and the purchase of existing historic buildings for conversion to public libraries. For the purposes of this paragraph, the term "equipment" includes machinery, utilities, and built-in equipment and any necessary enclosures or structures to house them; and such term includes all other items necessary for the functioning of a

particular facility as a facility for the provision of library services.

Executive Order 12372. The purpose of Executive Order 12372 is to foster an intergovernmental partnership and strengthen federalism by relying on State and local processes for the coordination and review of proposed Federal financial assistance and direct Federal development. The application notice, as published in the Federal Register, informs the applicant as to whether the program is subject to the requirements of E.O. 12372. In addition, the application package contains information on the State Single Point of Contact. An applicant is still eligible to apply for a grant or grants even if its respective State, Territory, Commonwealth, etc. does not have a State Single Point of Contact. For additional information on E.O. 12372 go to <http://www.cfda.gov/public/eo12372.htm>.

PROTECTION OF HUMAN SUBJECTS IN RESEARCH

I. Definitions and Exemptions

A. Definitions.

A research activity involves human subjects if the activity is research, as defined in the Department's regulations, and the research activity will involve use of human subjects, as defined in the regulations.

—Research

The ED Regulations for the Protection of Human Subjects, Title 34, Code of Federal Regulations, Part 97, define research as "a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge." *If an activity follows a deliberate plan whose purpose is to develop or contribute to generalizable knowledge it is research.* Activities which meet this definition constitute research whether or not they are conducted or supported under a program which is considered research for other purposes. For example, some demonstration and service programs may include research activities.

—Human Subject

The regulations define human subject as "a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information." *(1) If an activity involves obtaining information about a living person by manipulating that person or that person's environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met. (2) If an activity involves obtaining private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated with the information), the definition of human subject is met.* [Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).]

B. Exemptions.

Research activities in which the **only** involvement of human subjects will be in one or more of the following six categories of **exemptions** are not covered by the regulations:

(1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation. *If the subjects are children, exemption 2 applies only to research involving educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed. Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s)*

participate in the activities being observed. [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

(3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed public officials or candidates for public office; or federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

(4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

(5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs.

(6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives

If the applicant marked "Yes" for Item 12 on the ED 424, the applicant must provide a human subjects "exempt research" or "nonexempt research" narrative and insert it immediately following the ED 424 face page.

A. Exempt Research Narrative.

If you marked "Yes" for item 12 a. and designated exemption numbers(s), provide the "exempt research" narrative. The narrative must contain sufficient information about the involvement of human subjects in the proposed research to allow a determination by ED that the designated exemption(s) are appropriate. The narrative must be succinct.

B. Nonexempt Research Narrative.

If you marked "No" for item 12 a. you must provide the "nonexempt research" narrative. The narrative must address the following seven points. Although no specific page limitation applies to this section of the application, be succinct.

(1) **Human Subjects Involvement and Characteristics:** Provide a detailed description of the proposed involvement of human subjects. Describe the characteristics of the subject population, including their anticipated number, age range, and health status. Identify the criteria for inclusion or exclusion of any subpopulation. Explain the rationale for the involvement of special classes of subjects, such as children, children with disabilities, adults with disabilities, persons with mental disabilities, pregnant women, prisoners, institutionalized individuals, or others who are likely to be vulnerable

(2) **Sources of Materials:** Identify the sources of research material obtained from individually identifiable living human subjects in the form of specimens, records, or data. Indicate whether the material or data will be obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.

(3) **Recruitment and Informed Consent:** Describe plans for the recruitment of subjects and the consent procedures to be followed. Include the circumstances under which consent will be sought and obtained, who will seek it, the nature of the information to be provided to prospective subjects, and the method of documenting consent. State if the Institutional Review Board (IRB) has authorized a modification or waiver of the elements of consent or the requirement for documentation of consent.

(4) **Potential Risks:** Describe potential risks (physical, psychological, social, legal, or other) and assess their likelihood and seriousness. Where appropriate, describe alternative treatments and procedures that might be advantageous to the subjects.

(5) **Protection Against Risk:** Describe the procedures for protecting against or minimizing potential risks, including risks to confidentiality, and assess their likely effectiveness. Where appropriate, discuss provisions for ensuring necessary medical or professional intervention in the event of adverse effects to the subjects. Also, where appropriate, describe the provisions for monitoring the data collected to ensure the safety of the subjects.

(6) **Importance of the Knowledge to be Gained:** Discuss the importance of the knowledge gained or to be gained as a result of the proposed research. Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to subjects and in relation to the importance of the knowledge that may reasonably be expected to result.

(7) **Collaborating Site(s):** If research involving human subjects will take place at collaborating site(s) or other performance site(s), name the sites and briefly describe their involvement or role in the research.

Copies of the Department of Education's Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the Grants Policy and Oversight Staff, Office of the Chief Financial Officer, U.S. Department of Education, Washington, D.C. 20202-4248, telephone: (202) 708-8263, and on the U.S. Department of Education's Protection of Human Subjects in Research Web Site at <http://www.ed.gov/offices/OCFO/humansub.html>

Public reporting burden for this collection of information is estimated to vary from 13 to 22 hours per response, with an average of 17.5 hours per response, including the time reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, Information Management and Compliance Division, Washington, D.C. 20202-4651; and the Office of Management and Budget, Paperwork Reduction Project 1875-0102, Washington DC 20503.

INSTRUCTIONS FOR ED FORM 524

General Instructions

This form is used to apply to individual U.S. Department of Education discretionary grant programs. Unless directed otherwise, provide the same budget information for each year of the multi-year funding request. Pay attention to applicable program specific instructions, if attached.

Section A - Budget Summary

U.S. Department of Education Funds

All applicants must complete Section A and provide a breakdown by the applicable budget categories shown in lines 1-11.

Lines 1-11, columns (a)-(e): For each project year for which funding is requested, show the total amount requested for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If funding is requested for only one project year, leave this column blank.

Line 12, columns (a)-(e): Show the total budget request for each project year for which funding is requested.

Line 12, column (f): Show the total amount requested for all project years. If funding is requested for only one year, leave this space blank.

Section B - Budget Summary

Non-Federal Funds

If you are required to provide or volunteer to provide matching funds or other non-Federal resources to the project, these should be shown for each applicable budget category on lines 1-11 of Section B.

Lines 1-11, columns (a)-(e): For each project year for which matching funds or other contributions are provided, show the total contribution for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If non-Federal contributions are provided for only one year, leave this column blank.

Line 12, columns (a)-(e): Show the total matching or other contribution for each project year.

Line 12, column (f): Show the total amount to be contributed for all years of the multi-year project. If non-Federal contributions are provided for only one year, leave this space blank.

Section C - Other Budget Information

Pay attention to applicable program specific instructions, if attached.

1. Provide an itemized budget breakdown, by project year, for each budget category listed in Sections A and B.
2. If applicable to this program, enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period. In addition, enter the estimated amount of the base to which the rate is applied, and the total indirect expense.
3. If applicable to this program, provide the rate and base on which fringe benefits are calculated.
4. Provide other explanations or comments you deem necessary.

INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., "RFP-DE-90 001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.

(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503

Intergovernmental Review of Federal Programs

This appendix applies to each program that is subject to the requirements of Executive Order 12372 (Intergovernmental Review of Federal Programs) and the regulations in 34 CFR part 79.

The objective of the Executive order is to foster an intergovernmental partnership and to strengthen federalism by relying on State and local processes for State and local government coordination and review of proposed Federal financial assistance.

Applicants must contact the appropriate State Single Point of Contact to find out about, and to comply with, the State's process under Executive Order 12372. Applicants proposing to perform activities in more than one State should immediately contact the Single Point of Contact for each of those States and follow the procedure established in each of those States under the Executive order. A link to the listing containing the Single Point of Contact for each State is located on the e-Application home page.

Any State Process Recommendation and other comments submitted by a State Single Point of Contact and any comments from State, areawide, regional, and local entities must be mailed or hand-delivered by the date indicated in the actual application notice to the following address: The Secretary, EO 12372 - CFDA 84.###, U.S. Department of Education, 400 Maryland Avenue, SW, Washington, DC 20202.

Proof of mailing will be determined on the same basis as applications (see 34 CFR 75.102). Recommendations or comments may be hand-delivered until 4:30 p.m. (Washington, DC time) on the date indicated in the actual application notice.

Intergovernmental Review of Federal Programs

This appendix applies to each program that is subject to the requirements of Executive Order 12372 (Intergovernmental Review of Federal Programs) and the regulations in 34 CFR part 79.

The objective of the Executive order is to foster an intergovernmental partnership and to strengthen federalism by relying on State and local processes for State and local government coordination and review of proposed Federal financial assistance.

Applicants must contact the appropriate State Single Point of Contact to find out about, and to comply with, the State's process under Executive Order 12372. Applicants proposing to perform activities in more than one State should immediately contact the Single Point of Contact for each of those States and follow the procedure established in each of those States under the Executive order. A link to the listing containing the Single Point of Contact for each State is located on the e-Application home page.

Any State Process Recommendation and other comments submitted by a State Single Point of Contact and any comments from State, areawide, regional, and local entities must be mailed or hand-delivered by the date indicated in the actual application notice to the following address: The Secretary, EO 12372 - CFDA 84.###, U.S. Department of Education, 400 Maryland Avenue, SW, Washington, DC 20202.

Proof of mailing will be determined on the same basis as applications (see 34 CFR 75.102). Recommendations or comments may be hand-delivered until 4:30 p.m. (Washington, DC time) on the date indicated in the actual application notice.

Application for Federal Education Assistance



U.S. Department of Education
Form Approved
OMB No. 1875-0106
Exp. 11/30/2004

Applicant Information

1. Name and Address

Legal Name:

Address:

Organizational Unit

City

State

County

ZIP Code + 4

2. Applicant's D-U-N-S Number

6. Novice Applicant No

3. Applicant's T-I-N

Title:

4. Catalog of Federal Domestic Assistance #:

7. Is the applicant delinquent on any Federal debt? No
(if "Yes," attach an explanation.)

5. Project Director: —

8. Type of Applicant (Enter appropriate letter in the box.)

Address: —

- A State G Public College or University
B Local H Non-Profit College or University
C Special District I Non-Profit Organization
D Indian Tribe J Private, Profit-Making Organization
E Individual K Other (Specify):
F Independent School District

City

State

ZIP Code + 4

Tel. #: () —

Fax #: () —

E-Mail Address:

Application Information

9. Type of Submission:

--PreApplication

Non-Construction

12. Are any research activities involving human subjects planned at any time during the proposed project period? No (Go to item 13.)

12a. Are **all** the research activities proposed designated to be exempt from the regulations? No

Yes (Provide Exemption(s)#):

10. Is application subject to review by Executive Order 12372 process?

No - Program is not covered by E.O. 12372

No (Provide Assurance #, if available):

11. Proposed Project Dates:

Start Date: End Date:

13. Descriptive Title of Applicant's Project:

Estimated Funding

| | | | |
|-------------------|----|---|-----|
| 14a. Federal | \$ | 0 | .00 |
| b. Applicant | \$ | 0 | .00 |
| c. State | \$ | 0 | .00 |
| d. Local | \$ | 0 | .00 |
| e. Other | \$ | 0 | .00 |
| f. Program Income | \$ | 0 | .00 |
| g. TOTAL | \$ | 0 | .00 |

Authorized Representative Information

15. To the best of my knowledge and belief, all data in this preapplication/ application are true and correct. The document has been duly authorized by the governing body of the applicant and the applicant will comply with the attached assurances if the assistance is awarded.

a. Typed Name of Authorized Representative

b. Title

c. Tel. #: () — Fax #: () —

d. E-Mail Address:

e. Signature of Authorized Representative

**U.S. DEPARTMENT OF EDUCATION****BUDGET INFORMATION****NON-CONSTRUCTION PROGRAMS**

OMB Control Number: 1890-0004

Expiration Date: 02/28/2003

Name of Institution/Organization:

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

SECTION A - BUDGET SUMMARY**U.S. DEPARTMENT OF EDUCATION FUNDS**

| Budget Categories | Project Year 1(a) | Project Year 2 (b) | Project Year 3 (c) | Project Year 4 (d) | Project Year 5 (e) | Total (f) |
|--------------------------------------|-------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------|
| 1. Personnel | \$ | \$ | \$ | \$ | \$ | \$ |
| 2. Fringe Benefits | \$ | \$ | \$ | \$ | \$ | \$ |
| 3. Travel | \$ | \$ | \$ | \$ | \$ | \$ |
| 4. Equipment | \$ | \$ | \$ | \$ | \$ | \$ |
| 5. Supplies | \$ | \$ | \$ | \$ | \$ | \$ |
| 6. Contractual | \$ | \$ | \$ | \$ | \$ | \$ |
| 7. Construction | \$ | \$ | \$ | \$ | \$ | \$ |
| 8. Other | \$ | \$ | \$ | \$ | \$ | \$ |
| 9. Total Direct Costs (lines 1-8) | \$ | \$ | \$ | \$ | \$ | \$ |
| 10. Indirect Costs | \$ | \$ | \$ | \$ | \$ | \$ |
| 11. Training Stipends | \$ | \$ | \$ | \$ | \$ | \$ |
| 12. Total Costs (lines 9- 11) | \$ | \$ | \$ | \$ | \$ | \$ |

ED Form No. 524

**U.S. DEPARTMENT OF EDUCATION****BUDGET INFORMATION****NON-CONSTRUCTION PROGRAMS**

OMB Control Number: 1890-0004

Expiration Date: 02/28/2003

Name of Institution/Organization:

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

SECTION B - BUDGET SUMMARY**NON-FEDERAL FUNDS**

| Budget Categories | Project Year 1(a) | Project Year 2 (b) | Project Year 3 (c) | Project Year 4 (d) | Project Year 5 (e) | Total (f) |
|--------------------------------------|-------------------|-----------------------|-----------------------|-----------------------|-----------------------|-----------|
| 1. Personnel | \$ | \$ | \$ | \$ | \$ | \$ |
| 2. Fringe Benefits | \$ | \$ | \$ | \$ | \$ | \$ |
| 3. Travel | \$ | \$ | \$ | \$ | \$ | \$ |
| 4. Equipment | \$ | \$ | \$ | \$ | \$ | \$ |
| 5. Supplies | \$ | \$ | \$ | \$ | \$ | \$ |
| 6. Contractual | \$ | \$ | \$ | \$ | \$ | \$ |
| 7. Construction | \$ | \$ | \$ | \$ | \$ | \$ |
| 8. Other | \$ | \$ | \$ | \$ | \$ | \$ |
| 9. Total Direct Costs (lines 1-8) | \$ | \$ | \$ | \$ | \$ | \$ |
| 10. Indirect Costs | \$ | \$ | \$ | \$ | \$ | \$ |
| 11. Training Stipends | \$ | \$ | \$ | \$ | \$ | \$ |
| 12. Total Costs (lines 9-11) | \$ | \$ | \$ | \$ | \$ | \$ |

ASSURANCES - NON-CONSTRUCTION PROGRAMS

Standard Form 424B (Rev.7-97)

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington DC 20503.

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

NOTE: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. "4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. "1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. '794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. "276a to 276a-7), the Copeland Act (40 U.S.C. '276c and 18 U.S.C. "874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. " 327-333), regarding labor standards for federally assisted construction sub-agreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. "1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. "7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. "1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance

of 1975, as amended (42 U.S.C. " 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) " 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. " 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. ' 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. "1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. '470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. "469a-1 et seq.).

14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. "2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. "4801 et seq.) which prohibits the use of lead- based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

| |
|---|
| Signature of Authorized Certifying Representative: |
| Name of Authorized Certifying Representative: |
| Title: |
| Date Submitted: |

Certifications Regarding Lobbying; Debarment, Suspension And Other Responsibility Matters; And Drug-Free Workplace Requirements

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying," and 34 CFR Part 85, "Government-wide Debarment and Suspension (Non-procurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Education determines to award the covered transaction, grant, or cooperative agreement.

1. LOBBYING

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all subrecipients shall certify and disclose accordingly.

2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS

As required by Executive Order 12549, Debarment and Suspension, and implemented at 34 CFR Part 85, for prospective participants in primary covered transactions, as defined at 34 CFR Part 85, Sections 85.105 and 85.110--

(b) Establishing an on-going drug-free awareness program to inform employees about:

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will:

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Director, Grants Policy and Oversight Staff, U.S. Department of Education, 400 Maryland Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted:

(1) Taking appropriate personnel action against such an

A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this application been convicted of or had a civil judgement rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (2)(b) of this certification; and

(d) Have not within a three-year period preceding this application had one or more public transaction (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

3. DRUG-FREE WORKPLACE (GRANTEES OTHER THAN INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610 -

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site (s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Address:

City:

County:

State: Zip Code: -

Check ☐ if there are workplaces on file that are not identified here.

DRUG-FREE WORKPLACE (GRANTEES WHO ARE INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610-

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Director, Grants Policy and Oversight Staff, Department of Education, 400 Maryland Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected grant.

Explanation for Section 2B

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

| |
|---|
| Name of Authorized Certifying Representative: |
|---|

| |
|--------|
| Title: |
|--------|

| |
|------------|
| Applicant: |
| Date: |
| ED 80-0013 |

Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions

This certification is required by the Department of Education regulations implementing Executive Order 12549, Debarment and Suspension, 34 CFR Part 85, for all lower tier transactions meeting the threshold and tier requirements stated at Section 85.110.

Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion-Lower Tier Covered Transactions, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may but is not required to, check the Nonprocurement List.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

Certification

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

| |
|-------------------------------|
| Explanation for Statement (2) |
|-------------------------------|

| |
|---|
| Name of Authorized Certifying Representative: |
| Title: |
| Applicant: |
| Date: |
| ED 80-0014 |

Disclosure of Lobbying Activities

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352

| | | |
|---|---|--|
| 1. Type of Federal Action: <input type="checkbox"/> Contract <input type="checkbox"/> Grant <input type="checkbox"/> Cooperative Agreement <input type="checkbox"/> Loan <input type="checkbox"/> Loan Guarantee <input type="checkbox"/> Loan Insurance | 2. Status of Federal Action: <input type="checkbox"/> Bid/Offer/Application <input type="checkbox"/> Initial Award <input type="checkbox"/> Post-Award | 3. Report Type: <input type="checkbox"/> Initial Filing <input type="checkbox"/> Material Change For Material Change only: Year: Quarter: Date of Last Report: |
| 4. Name and Address of Reporting Entity: <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier, if known: Name: Address: City: State: Zip Code + 4: - Congressional District, if known: | 5. If Reporting Entity in No. 4 is a Subawardee, Enter Name and Address of Prime: Name: Address: City: State: Zip Code + 4: - Congressional District, if known: | |
| 6. Federal Department/Agency: | 7. Federal Program Name/Description: CFDA Number, if applicable: | |
| 8. Federal Action Number, if known: | 9. Award Amount, if known: \$ | |
| 10. a. Name of Lobbying Registrant (if individual, last name, first name, MI): Address: City: State: Zip Code + 4: - | b. Individuals Performing Services (including address if different from No. 10a) (last name, first name, MI): Address: City: State: Zip Code + 4: - | |
| 11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure. | Name: Title: Applicant: Date: | |
| Federal Use Only: | | Authorized for Local Reproduction Standard Form LLL (Rev. 7-97) |

Program Specific Assurances

As the duly authorized representative of the applicant, I certify that the applicant shall:

1. assure that the funds made available for any fiscal year will be used to supplement, and not supplant, any other Federal, State, or local funds used for providing school-based counseling and mental health services to students;
2. assure that the applicant will appoint an advisory board composed of interested parties, including parents, teachers, school administrators, and counseling service providers, and community leaders to advise the local educational agency on the design and implementation of the counseling program; and
3. use not more than 4 percent of the amounts made available for any fiscal year for administrative costs.

NAME OF AUTHORIZED CERTIFYING OFFICIAL:

TITLE:

APPLICANT ORGANIZATION:

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL:

DATE: 02/04/2004

Section 427 of GEPA

OMB Control No. 1804-0004 (Exp. 08/31/2001)

NOTICE TO ALL APPLICANTS

The purpose of this enclosure is to inform you about a new provision in the Department of Education's General Education Provisions Act (GEPA) that applies to applicants for new grant awards under Department programs. This provision is Section 427 of GEPA, enacted as part of the Improving America's Schools Act of 1994 (Pub. L. 103-382).

To Whom Does This Provision Apply?

Section 427 of GEPA affects applicants for new grant awards under this program. **ALL APPLICANTS FOR NEW AWARDS MUST INCLUDE INFORMATION IN THEIR APPLICATIONS TO ADDRESS THIS NEW PROVISION IN ORDER TO RECEIVE FUNDING UNDER THIS PROGRAM.**

(If this program is a State-formula grant program, a State needs to provide this description only for projects or activities that it carries out with funds reserved for State-level uses. In addition, local school districts or other eligible applicants that apply to the State for funding need to provide this description in their applications to the State for funding. The State would be responsible for ensuring that the school district or other local entity has submitted a sufficient section 427 statement as described below.)

What Does This Provision Require?

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally-assisted program for students, teachers, and other program beneficiaries with special needs. This provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. Based on local circumstances, you should determine whether these or other barriers may prevent your students, teachers, etc. from such access or participation in, the Federally-funded project or activity. The description in your application of steps to be taken to overcome these barriers need not be lengthy; you may provide a clear and succinct

description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for Federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve to high standards. Consistent with program requirements and its approved application, an applicant may use the Federal funds awarded to it to eliminate barriers it identifies.

What are Examples of How an Applicant Might Satisfy the Requirement of This Provision?

The following examples may help illustrate how an applicant may comply with Section 427.

- (1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.
- (2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audio tape or in braille for students who are blind.
- (3) An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course, might indicate how it intends to conduct "outreach" efforts to girls, to encourage their enrollment.

We recognize that many applicants may already be implementing effective steps to ensure equity of access and participation in their grant programs, and we appreciate your cooperation in responding to the requirements of this provision.

Estimated Burden Statement for GEPA Requirements

The time required to complete this information collection is estimated to vary from 1 to 3 hours per response, with an average of 1.5 hours, including the time to review instructions, search existing data resources, gather and maintain the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, DC 20202-4651.

Applicants should use this section to address the GEPA provision.

Project Narrative

Table of Contents
Include a Table of Contents with page references

Project Narrative

Abstract

Include a concise, one-page, double-spaced abstract following the Table of Contents. This is a key element and should include a brief narrative describing: (1) a brief summary of the project goals and objectives; (2) the intended outcomes of the project; and (3) the theoretical or research basis for the project. Clearly mark this page with the applicant's name as shown in Item 1 of ED Form 424 and the title of the project as shown in Item 13 of the same form

Project Narrative

Need for Project (25 points)

In determining the need for the proposed project, the following factors are considered:

A. The magnitude of the need for services to be provided or the activities to be carried out by the proposed project. (15 points)

B. The extent to which specific gaps or weaknesses in services, infrastructure, or opportunities have been identified and will be addressed by the proposed project, including the nature and magnitude of those gaps or weaknesses. (10 points)

Notes: Reviewers will be look at the magnitude of the need for counseling services among the target population. Applicants must describe the school population to be targeted by the grant, the counseling needs of that population, and the current school counseling resources available for meeting identified counseling needs.

Project Narrative

Significance (15 points)

In determining the significance of the proposed project, the following factors are considered:

- A. The likelihood that the proposed project will result in system change or improvement. (5 points)**
- B. The potential contribution of the proposed project to the development and advancement of theory, knowledge, and practices in the field. (5 points)**
- C. The potential replicability of the proposed project or strategies, including, as appropriate, the potential for implementation in a variety of settings. (5 points)**

Notes: Reviewers will look for evidence that the project activities will lead to system change or improvement in the quality and effectiveness of counseling services. They will also consider the extent to which the proposed project reflects promising and innovative approaches for initiating or expanding school counseling, and demonstrates potential for replication and dissemination to other schools or school districts.

Project Narrative

Quality of the Project Design (30 points)

In determining the quality of the design of the proposed project, the following factors are considered:

- A. The extent to which the goals, objectives, and outcomes to be achieved by the proposed project are clearly specified and measurable. (10 points)**
- B. The extent to which the design of the proposed project is appropriate to, and will successfully address, the needs of the target population or other identified. (5 points)**
- C. The extent to which the design of the proposed project reflects up-to-date knowledge from research and effective practice. (10 points)**
- D. The extent to which the proposed project will establish linkages with other appropriate agencies and organizations providing services to the target population. (5 points)**

Notes: Reviewers will look for clearly described activities, services, and training to be provided by the program and the specific approaches to be used to meet the counseling needs of the target population, including those of diverse cultural populations, if applicable. Reviewers will also consider the extent to which the proposed projects will involve community groups, social service agencies, and other public and private entities in collaborative efforts to enhance the counseling program and promote school-linked services integration.

Project Narrative

Quality of Project Personnel (10 points)

In determining the quality of personnel for the proposed project the following factors are considered:

A. The extent to which the applicant encourages applications for employment from persons who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability. (5 points)

B. The qualifications, including relevant training and experience, of key project personnel. (5 points)

Notes: Reviewers will look for evidence that the applicant has the personnel qualified to develop, implement, and administer the proposed project, including the project evaluation.

Project Narrative

Quality of the Project Evaluation (20 points)

In determining the quality of the evaluation for the proposed project, the following factors are considered:

- A. The extent to which the methods of evaluation are thorough, feasible, measurable, and appropriate to the goals, objectives, and outcomes of the proposed project. (10 points)**
- B. The extent to which the methods of evaluation include the use of objective performance measures that are clearly related to the intended outcomes of the project and will produce quantitative and qualitative data to the extent possible. (5 points)**
- C. The extent to which the methods of evaluation will provide performance feedback and permit periodic assessment of progress toward achieving intended outcomes. (5 points)**

Notes: Reviewers will look for a detailed description of the evaluation plan that includes the methods to be used to evaluate the outcomes and effectiveness of the project, including the applicant's plan to address the Government Performance and Results (GPRA) measures established for this program.

Project Narrative

Appendices

Appendices should be limited only to what reviewers need to understand or clarify the proposal, or to provide supporting documentation such as personnel qualifications. Be sure to include copies of appendices with each copy of the application. Do not include timelines or other management charts as appendices, as they should be included in the narrative.

Project Narrative

HUMAN SUBJECTS NARRATIVE(S)

ED is planning changes to the e-Application software to make it easier for applicants to provide the Human Subjects Narrative.

In the interim, please upload your Human Subjects Exempt or Non-Exempt Narrative below.

First, review the "Instructions For Exempt and Nonexempt Human Subjects Research Narratives" in the ED 424 Instructions Document. The exempt research narrative can normally be provided in one or two paragraphs. The nonexempt research narrative must address the seven points and can normally be provided in two pages or less. If you have multiple projects and need to provide more than one narrative, be sure to label each set of responses as to the project they address

Budget Narrative

Budget Narrative

Include a detailed budget narrative that supports and explains the information provided in the Budget Information Form (ED Form 524). Use the same budget categories as those on the ED Form 524 and explain the basis used to estimate costs for all budget categories, and how the cost items relate to the proposed project goals, objectives, and activities. All expenditures must be necessary to carry out the goals and objectives of the program, reasonable for the scope and complexity of the program, and allowable under the terms and conditions of the grant and in accordance with government cost principles.

The Budget Information Form and accompanying narrative should provide enough detail to easily understand how costs were determined and if the budget is commensurate with the scope of the project. Applicants must submit separate detailed budgets for each year as shown on the Budget Information Form.